Office of Information Technology Services

Project Portfolio Management Tool

Non Approved Project Process

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1 Document History

1. Revision History

Revision #	Revision Date	Description of Change	Author
1.0	8/20/2008	New Document created from Project Approval Document	B. Swartz

2 Purpose

This document has been created to assist users of the Project Portfolio Management tool with understanding and following the process for non approved projects.

3 Non Approved Project Process

3.1.1 Overview

The EPMO has established a process to address projects that do not adhere to the project process and therefore are not in compliance with the State CIO (SCIO) guidelines. The EPMO process will address projects in the following status:

- ♦ A project was entered into the PPM tool but did not come forward for Gate 1 SCIO approval. The project was completed without receiving Gate 1, Gate 2, or Gate 3 approval from the SCIO.
- ♦ A project received Gate 1 SCIO approval to go into the Planning & Design Phase but was completed without receiving Gate 2 and Gate 3 approvals.
- ♦ A project received Gate 2 SCIO approval to go into the Execution & Build Phase but was completed without receiving Gate 3 approval.
- ♦ A "Registration" project was entered into the PPM tool but did not come forward for Gate 1 approval. The project was completed without receiving approval from the state approvers.
- ♦ A project was entered into the PPM tool and was rejected at one of the gate reviews by a Statewide Approver, DCIO, or SCIO. Project work continued although the project was not approved to move forward by the state approvers or the SCIO.
- ♦ A "Registration" project received Gate 1 approval but went over $500K. The project failed to come back through the approval process to get Gate 1 approval again. The project was completed without receiving Gate 1, Gate 2, or Gate 3 approval from the SCIO.

3.1.2 Process Steps

Step 1:   The EPMO PMA will log appropriate issue/s into the PPM Tool on the project status and outstanding items as it relates to the "Non Approved" recommendation.

Step 2:   The EPMO PMA will contact the Agency Program Manager (if a program manager is assigned to the project), Agency PM & Agency CIO (through e-mail) to notify them the department has not complied with the project approval process. The Agency CIO has **30 days** to respond to the EPMO PMA in writing with a corrective action plan to prevent the project from being moved to "Non Approved" status. The EPMO PMA may take up to 5 business days to review the corrective action plan and submit feedback to the agency.

Step 3:   If the EPMO PMA, Agency CIO and Agency PM (or Agency Program Manager where applicable) agree upon the corrective action plan, the "Non Approved" process will stop. If the process continues, the EPMO PMA will recommend that the EPMO Director move the project to a "Non Approved" status in the PPM tool.

Step 4:   The EPMO Director may take up to 5 business days to review the EPMO PMA recommendation to move the project to a "**Non Approved**" status in the PPM tool. The EPMO PMA recommendation will include all agency documentation along with the information in the PPM Tool. If the EPMO Director disagrees with the PMA recommendation, the "Non Approved" process will stop. The PMA will use all feedback from the EPMO Director to work with the Agency PM to get the project back on track. If the process continues, the EPMO Director will make the recommendation to the SCIO to move the project to a "Non Approved" status in the PPM tool and provide all supporting documentation to the SCIO. The SCIO may take up to 5 business days to review the EPMO Director's recommendation. If the SCIO disagrees with the EPMO Director's recommendation, the "Non Approved" process will stop. The PMA will use all feedback from the SCIO and the EPMO Director to work with the Agency PM to get the project back on track. If the process continues, the process will proceed to Step 5.

Step 5:   The SCIO will send a formal communication to the Agency CIO, CFO, Department Head, & PM (or Agency Program Manager where applicable) to inform them of the decision to move the project to a "Non Approved" status in the PPM tool. The Statewide Approvers, EPMO Director, EPMO QA and EPMO PMA will be copied on the letter. If appropriate, the SCIO also may recommend that OSBM suspend funding for the project.

Step 6:   The EPMO Director will notify the IT Portfolio Management Team to move the project to "Non Approved" status in the PPM Tool.

Step 7:   The Project status will be set to "Non Approved" in the PPM tool. The "Non Approved" status will lock all data entry fields in the PPM Tool for the project except for the Cost Tracking tab, Issues and Risks tab and the Document Management tab.

Step 8:   The EPMO Director will request the Statewide Approvers to add any additional issues and risks into the PPM Tool.

Step 9:   The Agency PM must enter the project actual cost at level 4 on the Cost tracking tab in the PPM Tool. For projects that were completed, the **final** cost of the project should be entered into the PPM Tool. For projects that work has stopped, the expended project cost to date should to be entered into the PPM Tool. (Note: The Cost Tracking tab will display the last month that data was entered into the PPM tool and not the current month).

Step 10:   The Agency PM will obtain the latest copy of the Lessons Learned Document from the EPMO website or from the PPM Tool and document the lessons learned on the project. The lessons learned shall be from the time the project was started until the project was moved to a "Non Approved" project status. Once the Lessons Learned Document has been filled out, the Agency PM will load it into the PPM Tool Document Management tab.

Step 11:   The Agency PM will obtain the latest copy of the Project Closeout Document from the EPMO website or from the PPM Tool and document the project closeout information. The closeout information shall be from the time the project started until the project was moved to a "Non Approved" project status. Once the Project Closeout Document has been filled out, the Agency PM will load it into the PPM Tool Document Management tab.

Step 12:   The Agency PM will review and update any issues and risks currently logged on the PPM Tool Issues and Risks tab. The update should include any references to a corrective action plan if a corrective action plan was put into place.

Step 13:   The Agency PM will load any supporting project documentation into the PPM Tool Document Management tab.

Step 14:   The Agency PM will not submit any more status reports on the project or go through any more gate reviews in the PPM Tool.

Step 15:   The Agency PM will set the project status to "**Non Approved – QA Review**" in the PPM tool by having all contributors sign off on the project. The "Non Approved- QA Review" status will lock all data entry fields in the PPM Tool for the project except for the Issues and Risks tab.

Step 16:   The EPMO QA Assessor will review the Project Closeout documents but will not assess any additional status reports.

Step 17:   The EPMO QA Assessor will log any additional comments or issues on the Issues and Risks tab.

Step 18:   When the EPMO QA Assessment has been completed, the EPMO QA Assessor will set the project status to "**Non Approved - Closed**" in the PPM Tool by signing off on the project.

3.1.3 Agency/SCIO Dispute Resolution

In any instance where the SCIO has moved a project to a Non Approved project status in the PPM Tool, the agency may request a meeting with the SCIO to review the Non Approved project status decision. The agency should submit a written request within 10 working days following the agency's receipt of the SCIO's decision. The agency's

request for review must specify the grounds for its disagreement with the SCIO's determination.

During the agency/SCIO review, the SCIO may affirm, reverse, or modify the decision to move the project to a Non Approved status. The SCIO will notify the Agency CIO and EPMO Director of the final decision within 5 working days.

The Dispute Resolution for "Non Approved" Project Status as defined in this process is **NOT** the same as the Dispute Resolution in the law where the SCIO determines that funding for a project should be suspended and the request for the suspension is made to the OSBM by the SCIO.

3.1.4 Project Status Definitions

Non Approved

The agency project was completed or work by the agency continued on the project without receiving gate approval to continue. The SCIO has requested the project be moved to a non approved status because the agency was not in compliance with the state law. While the project is in "Non Approved" status, the Cost tracking tab, Issues and Risk tab, and the Document Management tab are not locked and the PM can update these tabs. Once the project is moved to a non approved status, OSBM can suspend funding for the project.

Non Approved - QA Review

Per the SCIO, the project was moved to a non approved status. The agency PM has completed the project closeout documentation and the EPMO QA Assessor is reviewing the information. While the project is in the "Non Approved QA Review" status, the Issues and Risks tab and the Document Management tab are not locked and the PM can update these tabs.

Non Approved - Closed

Per the SCIO, the project was moved to a non approved status. The EPMO QA Assessor has completed the project closeout assessment. No further action needs to take place and the project is being closed. While the project is in the "Non Approved – Closed" status, no fields or tabs can be updated.